

<p>TO:</p> <p style="text-align: center;">Mail Stop 8 Director of the U.S. Patent and Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450</p>	<p style="text-align: center;">REPORT ON THE FILING OR DETERMINATION OF AN ACTION REGARDING A PATENT OR TRADEMARK</p>
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In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been filed in the U.S. District Court on the following

Trademarks or Patents. (the patent action involves 35 U.S.C. § 292.).

DOCKET NO.	DATE FILED	U.S. DISTRICT COURT
PLAINTIFF		DEFENDANT
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1		
2		
3		
4		
5		

In the above—entitled case, the following patent(s)/ trademark(s) have been included:

DATE INCLUDED	INCLUDED BY			
	<input type="checkbox"/> Amendment <input type="checkbox"/> Answer <input type="checkbox"/> Cross Bill <input type="checkbox"/> Other Pleading			
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK		
1				
2				
3				
4				
5				

In the above—entitled case, the following decision has been rendered or judgement issued:

DECISION/JUDGEMENT		
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CLERK	(BY) DEPUTY CLERK	DATE
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Copy 1—Upon initiation of action, mail this copy to Director Copy 3—Upon termination of action, mail this copy to Director
 Copy 2—Upon filing document adding patent(s), mail this copy to Director Copy 4—Case file copy

Int. Cl.: 36

Prior U.S. Cl.: 102

United States Patent and Trademark Office

Reg. No. 1,286,420
Registered Jul. 17, 1984

SERVICE MARK
Principal Register

ARIEL

Ariel Capital Management, Inc. (Illinois corporation)
Suite 2014
307 N. Michigan Ave.
Chicago, Ill. 60601

For: MANAGEMENT OF INVESTMENTS
AND INVESTMENT FUNDS, in CLASS 36 (U.S.
Cl. 102).
First use Jan. 10, 1983; in commerce Mar. 23, 1983.

Ser. No. 431,218, filed Jun. 20, 1983.

RUSS HERMAN, Examining Attorney

Int. Cls.: 16 and 36

Prior U.S. Cls.: 2, 5, 22, 23, 29, 37, 38, 50, 100, 101, and 102

United States Patent and Trademark Office

Reg. No. 3,506,141

Registered Sep. 23, 2008

**TRADEMARK
SERVICE MARK
PRINCIPAL REGISTER**

ARIEL INVESTMENTS

ARIEL INVESTMENTS, LLC (DELAWARE LIMITED LIABILITY COMPANY)
200 E. RANDOLPH DRIVE
SUITE 2900
CHICAGO, IL 60601

FOR: PRINTED PUBLICATIONS, NAMELY, REPORTS, EDUCATIONAL MATERIALS, NEWSLETTERS, PAMPHLETS AND PERIODICALS FEATURING INVESTMENT NEWS AND COMMENTARY, IN CLASS 16 (U.S. CLS. 2, 5, 22, 23, 29, 37, 38 AND 50).

FIRST USE 4-30-2008; IN COMMERCE 4-30-2008.

FOR: INVESTMENT ADVISORY SERVICES; INVESTMENT MANAGEMENT; MUTUAL FUND BROKERAGE, DISTRIBUTION AND INVESTMENT; FINANCIAL SPONSORSHIP OF CULTURAL AND PERFORMING ARTS EVENTS; PROVIDING ON-LINE INFORMATION IN THE FIELD OF IN-

VESTMENTS, IN CLASS 36 (U.S. CLS. 100, 101 AND 102).

FIRST USE 4-30-2008; IN COMMERCE 4-30-2008.

THE MARK CONSISTS OF STANDARD CHARACTERS WITHOUT CLAIM TO ANY PARTICULAR FONT, STYLE, SIZE, OR COLOR.

OWNER OF U.S. REG. NOS. 1,286,420, 2,772,980, AND OTHERS.

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "INVESTMENTS", APART FROM THE MARK AS SHOWN.

SN 77-209,986, FILED 6-19-2007.

IRA J. GOODSAID, EXAMINING ATTORNEY

Int. Cl.: 36

Prior U.S. Cls.: 100, 101 and 102

United States Patent and Trademark Office

Reg. No. 2,772,980

Registered Oct. 14, 2003

**SERVICE MARK
PRINCIPAL REGISTER**

ARIEL FUND

ARIEL CAPITAL MANAGEMENT, INC. (ILLINOIS CORPORATION)
200 E. RANDOLPH DRIVE
SUITE 2900
CHICAGO, IL 60601, BY ASSIGNMENT ARIEL GROWTH FUND (MASSACHUSETTS BUSINESS TRUST), DBA ARIEL INVESTMENT TRUST CHICAGO, IL 60601

FOR: MUTUAL FUND ADVISORY AND MANAGEMENT SERVICES, MUTUAL FUND BROKERAGE SERVICES, AND MUTUAL FUND DISTRIBUTION SERVICES, IN CLASS 36 (U.S. CLS. 100, 101 AND 102).

FIRST USE 11-6-1986; IN COMMERCE 11-6-1986.

OWNER OF U.S. REG. NO. 1,286,420.

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "FUND", APART FROM THE MARK AS SHOWN.

SER. NO. 76-228,021, FILED 3-21-2001.

BRENDAN REGAN, EXAMINING ATTORNEY

United States of America

United States Patent and Trademark Office

ARIEL'S ABCS OF MONEY

Reg. No. 3,897,717

ARIEL INVESTMENTS, LLC (DELAWARE LIMITED LIABILITY COMPANY)
200 E. RANDOLPH STREET, SUITE 2900
CHICAGO, IL 60601

Int. Cl.: 36

FOR: ONLINE INFORMATION IN THE FIELDS OF INVESTMENTS AND PERSONAL FINANCIAL MATTERS, IN CLASS 36 (U.S. CLS. 100, 101 AND 102).

SERVICE MARK

FIRST USE 4-15-2009; IN COMMERCE 4-15-2009.

PRINCIPAL REGISTER

THE MARK CONSISTS OF STANDARD CHARACTERS WITHOUT CLAIM TO ANY PARTICULAR FONT, STYLE, SIZE, OR COLOR.

OWNER OF U.S. REG. NOS. 1,286,420, 3,506,141, AND OTHERS.

SN 77-683,963, FILED 3-5-2009.

BRIDGETT SMITH, EXAMINING ATTORNEY



David J. Kappos

Director of the United States Patent and Trademark Office

United States of America
United States Patent and Trademark Office

ARIEL INTERNATIONAL FUND

Reg. No. 4,223,198

Registered Oct. 9, 2012

Amended Nov. 26, 2013

Int. Cl.: 36

SERVICE MARK

PRINCIPAL REGISTER

ARIEL INVESTMENTS, LLC (DELAWARE LIMITED LIABILITY COMPANY)
200 EAST RANDOLPH STREET, SUITE 2900
CHICAGO, IL 60601

FOR: MUTUAL FUND ADVISORY AND MANAGEMENT SERVICES, MUTUAL FUND
BROKERAGE SERVICES, AND MUTUAL FUND DISTRIBUTION SERVICES, IN CLASS 36
(U.S. CLS. 100, 101 AND 102).

FIRST USE 12-30-2011; IN COMMERCE 12-30-2011.

THE MARK CONSISTS OF STANDARD CHARACTERS WITHOUT CLAIM TO ANY PAR-
TICULAR FONT, STYLE, SIZE, OR COLOR.

OWNER OF U.S. REG. NOS. 1,286,420, 3,506,141 AND OTHERS.

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "INTERNATIONAL FUND",
APART FROM THE MARK AS SHOWN.

SER. NO. 85-450,719, FILED 10-19-2011.



Deborah S. Cohn

Commissioner for Trademarks of the
United States Patent and Trademark Office

United States of America
United States Patent and Trademark Office

ARIEL GLOBAL FUND

Reg. No. 4,223,197

ARIEL INVESTMENTS, LLC (DELAWARE LIMITED LIABILITY COMPANY)
200 EAST RANDOLPH STREET, SUITE 2900
CHICAGO, IL 60601

Registered Oct. 9, 2012

Amended Nov. 26, 2013

FOR: MUTUAL FUND ADVISORY AND MANAGEMENT SERVICES, MUTUAL FUND
BROKERAGE SERVICES, AND MUTUAL FUND DISTRIBUTION SERVICES, IN CLASS 36
(U.S. CLS. 100, 101 AND 102).

Int. Cl.: 36

FIRST USE 12-30-2011; IN COMMERCE 12-30-2011.

SERVICE MARK

THE MARK CONSISTS OF STANDARD CHARACTERS WITHOUT CLAIM TO ANY PAR-
TICULAR FONT, STYLE, SIZE, OR COLOR.

PRINCIPAL REGISTER

OWNER OF U.S. REG. NOS. 1,286,420, 3,506,141 AND OTHERS.

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "GLOBAL FUND", APART
FROM THE MARK AS SHOWN.

SER. NO. 85-450,718, FILED 10-19-2011.



Deborah S. Cohn

Commissioner for Trademarks of the
United States Patent and Trademark Office

United States of America
United States Patent and Trademark Office

ARIEL DISCOVERY FUND

Reg. No. 4,025,627

ARIEL INVESTMENTS, LLC (DELAWARE LIMITED LIABILITY COMPANY)
200 E. RANDOLPH DRIVE, SUITE 2900
CHICAGO, IL 60601

Registered Sep. 13, 2011

Int. Cl.: 36

FOR: MUTUAL FUND ADVISORY AND MANAGEMENT SERVICES, MUTUAL FUND
BROKERAGE SERVICES, AND MUTUAL FUND DISTRIBUTION SERVICES, IN CLASS 36
(U.S. CLS. 100, 101 AND 102).

SERVICE MARK

FIRST USE 1-31-2011; IN COMMERCE 1-31-2011.

PRINCIPAL REGISTER

THE MARK CONSISTS OF STANDARD CHARACTERS WITHOUT CLAIM TO ANY PAR-
TICULAR FONT, STYLE, SIZE, OR COLOR.

OWNER OF U.S. REG. NOS. 1,286,420, 2,772,980, AND 3,506,141.

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "DISCOVERY FUND", APART
FROM THE MARK AS SHOWN.

SER. NO. 85-233,077, FILED 2-3-2011.

DOMINIC J. FERRAIUOLO, EXAMINING ATTORNEY



David J. Kappos

Director of the United States Patent and Trademark Office

Int. Cl.: 36

Prior U.S. Cls.: 100, 101 and 102

United States Patent and Trademark Office

Reg. No. 3,657,317

Registered July 21, 2009

**SERVICE MARK
PRINCIPAL REGISTER**

ARIEL FOCUS FUND

ARIEL INVESTMENTS, LLC (DELAWARE LIMITED LIABILITY COMPANY)
200 E. RANDOLPH DRIVE, SUITE 2900
CHICAGO, IL 60601

FOR: MUTUAL FUND ADVISORY AND MANAGEMENT SERVICES, MUTUAL FUND BROKERAGE SERVICES, AND MUTUAL FUND DISTRIBUTION SERVICES, IN CLASS 36 (U.S. CLS. 100, 101 AND 102).

FIRST USE 6-30-2005; IN COMMERCE 6-30-2005.

THE MARK CONSISTS OF STANDARD CHARACTERS WITHOUT CLAIM TO ANY PARTICULAR FONT, STYLE, SIZE, OR COLOR.

OWNER OF U.S. REG. NOS. 2,772,978, 2,851,056 AND OTHERS.

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "FOCUS FUND", APART FROM THE MARK AS SHOWN.

SER. NO. 77-641,499, FILED 12-30-2008.

DAVID HOFFMAN, EXAMINING ATTORNEY

Int. Cl.: 36

Prior U.S. Cls.: 100, 101 and 102

United States Patent and Trademark Office

Reg. No. 2,772,978
Registered Oct. 14, 2003

**SERVICE MARK
PRINCIPAL REGISTER**

ARIEL APPRECIATION FUND

ARIEL CAPITAL MANAGEMENT, INC. (ILLINOIS CORPORATION)
200 E. RANDOLPH DRIVE
SUITE 2900
CHICAGO, IL 60601, BY ASSIGNMENT ARIEL GROWTH FUND (MASSACHUSETTS BUSINESS TRUST), DBA ARIEL INVESTMENT TRUST CHICAGO, IL 60601

FOR: MUTUAL FUND ADVISORY AND MANAGEMENT SERVICES, MUTUAL FUND BROKERAGE SERVICES, AND MUTUAL FUND DISTRIBUTION SERVICES, IN CLASS 36 (U.S. CLS. 100, 101 AND 102).

FIRST USE 12-1-1989; IN COMMERCE 12-1-1989.

OWNER OF U.S. REG. NO. 1,286,420.

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "APPRECIATION FUND", APART FROM THE MARK AS SHOWN.

SER. NO. 76-228,019, FILED 3-21-2001.

BRENDAN REGAN, EXAMINING ATTORNEY